

05-07-01

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Appln. Trans.
PATENT

**UTILITY PATENT
APPLICATION
TRANSMITTAL**

*(Only for new nonprovisional
applications under 37 CFR 1.53(b))*

Attorney Docket No. A33902-072119.0110

First Named Inventor PATRICK WONG MAN NING

Express Mail Label No. EF321689368US

Total Pages

May 4, 2001

BY EXPRESS MAIL - Label No. EF321689368US

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Sir:

Enclosed herewith for filing is a patent application of PATRICK WONG MAN NING, JAMES YIP and LI
SIU LEUNG entitled CUSTOMIZED DERIVATIVE SECURITIES

which includes:

☒ Specification 14 Total Pages
☒ Claims 2 Total Pages
☒ Abstract 1 Total Pages
☒ Drawing(s) 2 Total Sheets
 X formal
 informal

☒ Combined Declaration and Power of Attorney 3 Total Pages
 ☐ Newly executed (original or copy)
 ☐ Copy from a prior application
 (for continuation/divisional only - **must be filed to avoid surcharge for late filing**)

If a continuing application, check appropriate box:

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)
of prior application No.

☐ Amend the specification by inserting, before the first line, the following sentence:

“This is a ☐ continuation ☐ divisional ☐ continuation-in-part
of copending application Serial No. filed .”

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☒ An Assignment of the invention to iMarkets Technologies Limited.

☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.

☒ will follow.

☐ has been filed in the prior application

☐ Small Entity Statement(s) **ENCLOSED**.

☐ Small Entity Statement filed in prior application. Status still proper and desired.

☐ Information Disclosure Statement (IDS) PTO-1449

☐ Copies of IDS Citations.

☐ Preliminary Amendment

☒ Return Receipt Postcard

☐ Other _

☐ Cancel in this application original claims _ of the prior application before calculating the filing fee.

The filing fee has been calculated as shown below:

FOR	(Col. 1) <u>No. Filed</u>			(Col. 2) <u>No. Extra</u>			Small Entity <u>Rate</u>	<u>Fee</u>	OR	Other Than A Small Entity <u>Rate</u>	<u>Fee</u>
Basic Fee											\$710.00
Total Claims	6	-20	=	0	x	9 =	\$0.00		x	18 =	\$0.00
Ind. Claims	1	-3	=	0	x	40 =	\$0.00		x	80 =	\$0.00
Multiple Dependent Claim						+ 135 =				+ 270 =	
						Total		<u>\$0.00</u>			<u>\$710.00</u>

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

Fee Payment Being Made:

☒ Enclosed

☒ Basic filing fee \$710.00

☐ Recording Assignment \$0.00
[\$40.00; 37 CFR 1.21(h)]

Total Fees Enclosed \$710.00

☐ A check in the amount of \$0.00 to cover filing fee and assignment recordation fee is enclosed.

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PATENT

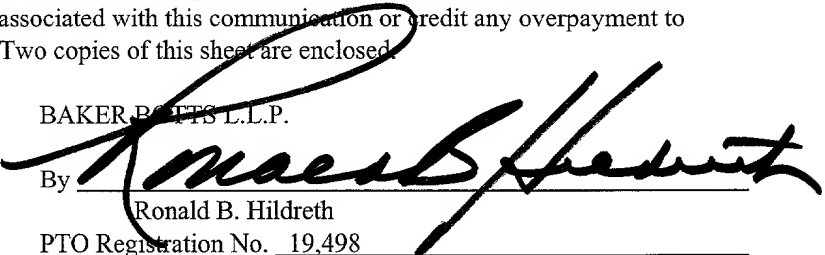
Attorney Docket No. A33902-072119.0110

Priority

- ☐ Priority of application Country __, Appln. No. __ filed __ is claimed under 35 U.S.C. 119.
- ☐ Certified Copy of Priority Document(s) Country __, Appln No. __, filed __.
- ☐ is/are attached ☐ will follow ☐ has been filed in the parent application S/N __.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

BAKER, BOITTS L.L.P.

By


Ronald B. Hildreth

PTO Registration No. 19,498

Enclosures